



**School of Public Policy and Public Administration**

**Senior Capstone Applied Research Project**

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under the direction of  
Professor Nancy Augustine

**District of Columbia  
Performance Management  
Program Evaluation  
Fall 2006**

## Executive Summary

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Students from the George Washington University's School of Public Policy and Public Administration, as required for their capstone project, were given the task of assessing the KRM approach to performance measurement within the government District of Columbia. Due to a five-month time constraint in which to complete the project, the scope of work was limited to an implementation evaluation designed to illustrate the system's strengths, as well as opportunities for improvement. The results of this research are also intended to validate the management system currently in place, identify any obstacles inherent within the performance-based management system, as well as provide recommendations that may be implemented in conjunction with the change in administration.

Two research questions identified as the basis of the student's research include: (1) How has the performance-based management system been implemented at the agency level as designed by the Office of the City Administrator? and (2) How have agencies implemented performance management activities in support of the District's performance-based management system?

Findings from the research for this project led to five major conclusions. The research team found that the existing system is sound and contains characteristics which resemble performance-based management systems effectively in place in other municipalities. There are some weaknesses regarding the execution and implementation of this otherwise sound system, and these are attributed to several factors. The data indicate the following issues: lack of consolidated policy guidance causing unclear and inconsistent understanding and execution by all stakeholders involved in implementation; and concentration of in-depth knowledge of the performance-based management on few individuals weakens system integrity as well as at points of transition, such as personnel change both at the agency and OCA level.

In addition, the research team learned that a disparity may exist between perceived and actual success of how the performance-based management system is implemented according to what it was intended to do. There is strong correlation between perceived success of agencies' implementation of performance management and the level of ease in quantifying measures for agency activities. It is noted in the findings that effective reporting may be more of an indication of successful submission of outputs rather than successful outcome of actual use of performance measures for improving management within agencies. Similarly, overall accountability needed to ensure actual use of performance management as intended to improve D.C. Government, appears weakened again by misplacing emphasis on data outputs and administrative compliance above meaningful use of the system. Overall, the general good will by agencies, in conjunction with opportunities for improving the District's performance-based management system, led the team to include recommendations for future consideration.

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## **1. Introduction**

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An implementation evaluation of the District of Columbia's performance-based management system was conducted from October to November of 2006 as a capstone project for students at The George Washington University located in Washington, D.C. The evaluation was completed by Dana Breil, Joanna Choi, Douglas Goodwin, Nick Sterganos and Richard Timme under the supervision of Dr. Nancy Augustine (nya@gwu.edu) in conjunction with the completion of course requirements for the Public Administration and Public Policy master's degree program. The study was conducted as an academic exercise and the findings and opinions are strictly the authors'.

The report begins with a brief history of the District of Columbia's performance-based management system. Two essential research questions are identified before discussing research design and data collection procedures. A substantial portion of the report focuses on statistical analysis, as well a description of the performance management system as implemented within the District. The report concludes with a summary of key findings and recommendations regarding the implementation of the performance-based management system. Supporting academic literature and data collection instruments are provided for reference in the appendices.

## **2. Background**

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The District of Columbia is continuing its efforts with performance-based management, as mandated by the Federal government. The first phase of implementation began in FY 2003, and the transition of all agencies to the strategic business planning process was completed in FY 2006.

The success of the transition to an effective performance-based management system still remains a focal point for both District leadership and agencies. As cited by the Office of the City Administrator, "the central policy problem is a low level of compliance among agencies with KRM data and reporting requirements, possible design flaws within the KRM system itself, and poor implementation of the KRM policy or requirements across agencies."

The purpose of this research project was to conduct an implementation evaluation of the performance-based management system as it currently stands within the D.C. Government. The results of this research will be used to validate the management paradigm in place, identify potential design flaws, as well as provide recommendations that may prove useful to Mayor Adrian Fenty, although it should be noted that this research was not undertaken as part of the transition.

### 3. Research Questions

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Researchers assessed the District's current performance-based management system using the following evaluation questions:

1. *Orientation*<sup>1</sup> – How has the performance-based management system been implemented at the city-wide level as designed by the Office of the City Administrator?

Question one focuses on the process, policy, and practices that exist at the city-wide level, and includes strategy, structure, and resources. The Office of the City Administrator, District agencies, and other municipalities were included in the scope of this question.

2. *Integration*<sup>2</sup> – How have agencies implemented performance management activities in support of the District's performance-based management system?

Question two examines the in-house process, policy, and practices of implementation at the agency level. The Office of the City Administrator selected five agencies for this portion of the study: the Metropolitan Police Department (MPD), the Department of Public Works (DPW), the State Education Office (SEO), the Department of Consumer and Regulatory Affairs (DCRA), and the District Department of Transportation (DDOT).

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<sup>1</sup> Orientation denotes the strategic goal or guiding principle of an organization as a whole.

<sup>2</sup> Integration denotes the process of achieving unity of effort among various subsystems in the accomplishment of an organization's tasks.

#### **4. Data Collection – Orientation of the Performance Management System**

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The following research methods were employed to analyze the orientation of the District's performance-based management system:

4.1 Document Review of City-wide Implementation Directives – Government documents were collected and reviewed in order to provide a complete history of performance management implementation in the District. The purpose of this phase of the literature review is to compare the performance management system originally envisioned to its actual practice within the District.

4.2 Comparative Analysis – In order to facilitate a better understanding of how the District's system compares to other cities, a comparative analysis was conducted with three municipalities recognized by the International City/County Management Association (ICMA) for serviceable performance management. Selected municipalities include: Charlotte, North Carolina; Baltimore, Maryland; and Portland, Oregon. Charlotte was selected because it was the first city in the United States to implement the Balanced Score Card system. The city of Baltimore was selected because it has characteristics that make it similar to the District. Portland was chosen to represent a different approach to performance management than the aforementioned municipalities. All of these cities are widely recognized as leaders in performance management, and frequently referenced in related literature.

4.3 Personal Interviews – Interviews were an important data collection method because they allow for discussion of facts and opinions that are beyond documented information. Personal interviews were used to supplement assessment of the orientation of the performance-based management system. They were conducted with performance management personnel and select agency heads, and served to gauge where the performance management system currently stands.

4.4 Survey – A survey was created and executed in order to attain a broader perspective on the District's performance management system. Supplemental viewpoints were provided as a result, and these could not be achieved solely through the limited number of personal interviews conducted. The Internet-based survey was designed for the Performance Management Council (PMC) as the target population. The survey launched on November 7, 2006, with re-solicitations conducted on November 14 and November 20. The survey closed on November 22. Of the 125 members of the target population, 89 people viewed the survey. The full survey was completed by 39 members, and 22 members completed portions of the survey. The response rate was 31.2 percent for complete responses, and 48.8 percent including partial responses.

## **5. Data Collection – Integration of the Performance Management System**

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The following research methods were employed to answer the second question regarding the integration of the performance-based management system:

5.1 Literature Review – A literature review was conducted by the research team in order to establish a baseline knowledge of performance-based management as articulated by academic literature. The academic literature also contributed to defining the five key performance management dimensions. Please see Appendix G for more detailed information about these sources.

5.2 Agency Personnel Interviews – Interviews were used to assess the integration and use of the performance-based management system within the five agencies. Interviews with performance management personnel and select agency heads allowed for in-depth examinations of five key performance dimensions which include: Performance Measurement Validity and Reliability, Performance-Based Management Systems, Accountability, Communication, and Awareness. These key variables, held constant across the five agencies, allow for generalization of performance management to other D.C. Government agencies. Please see Appendix H for a detailed definition of the five performance dimensions.

The research team conducted interviews with agency directors or deputy directors, PMC members, and members of the agency performance management staff who work directly with agency data. Of the fifteen interviews planned, thirteen were conducted. Data-collection level employees from two agencies were unable to meet for interviews. Detailed interview comments and observations were assessed by each research team member and then consolidated into an average score for use in analysis. General themes were also identified from the interviews. Please see Appendix C<sub>[NDS6]</sub> for the interview rating scale.

5.3 Survey – The survey discussed in section 4.4 was also used to gather data for the integration research question.



## 6. Findings – Orientation of the Performance Management System

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Our research exploring the city-wide process, policy, and practices currently in place includes investigating the strategy, structure, and resources within the Office of the City Administrator, agencies, and three other municipalities.

### 6.1 *Comparative Analysis*

Figure 1 is a matrix comparing the performance dimensions characteristics of each city. Analysis of the resulting matrix yielded similarities and differences across all jurisdictions. For example, accountability is administered in the District's system through annual performance contracts, Baltimore uses bi-weekly meetings, and Charlotte awards bonuses to employees who achieve cost savings through meeting organizational goals. All jurisdictions use some form of Internet-based reporting as a means of awareness and communication.

### 6.2 *The KRM System*

The District's performance-based management system is theoretically sound, and has characteristics similar to systems in place at other municipalities. In fact, the system outlined for the District by Weidner Consulting is used by other municipalities recognized for superior performance management. The District's system, however, has not been implemented as it should be. Key Result Measures are frequently output, rather than outcome, oriented<sup>[DLB7]</sup>. <sup>[DDG8]</sup>Key Result Measures do not address all aspects of performance. For example, efficiency measures are rarely included. As a result, it is difficult to link resources to results.

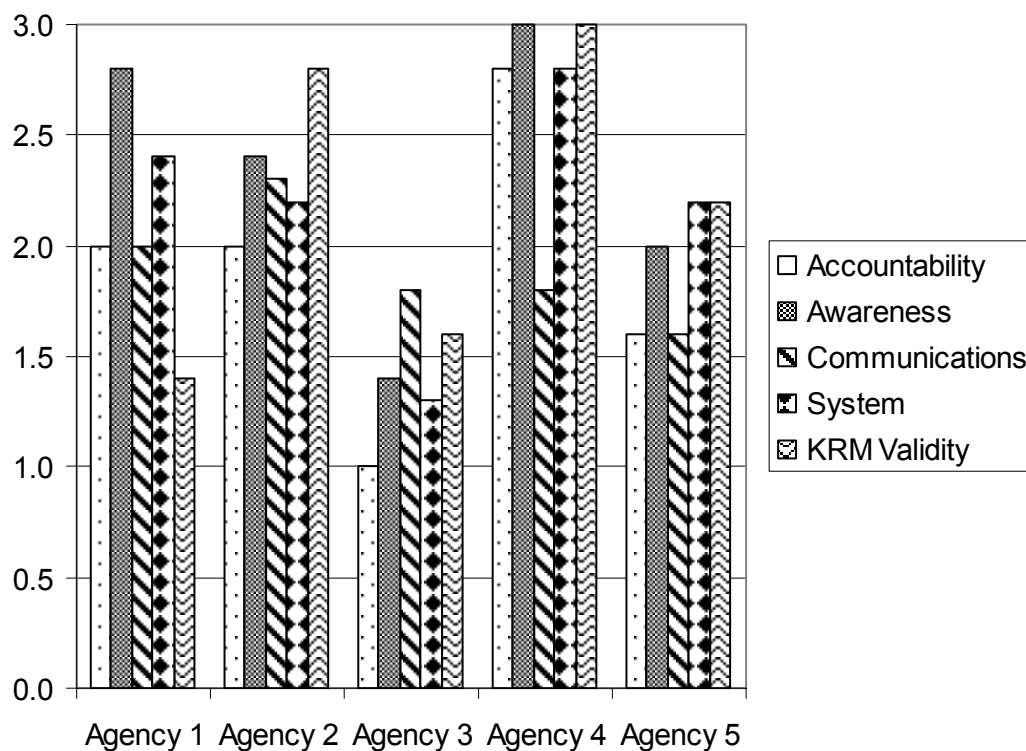
**Table 1 Comparison of Performance Management Systems among various localities**

	Accountability	Awareness	Communication	Performance Based Management Systems	Performance Measures Validity and Reliability
<b>Washington</b> (As envisioned in existing DC government policy-NOT ACTUAL RESULTS )	The system indicates performance contracts, budget allocations based on performance	Websites, Performance management Council meetings and reports, OCA visits to agencies	Performance information provided in the annual budget request. Select agency performance measures viewable over the internet. Performance management Council (PMC) meetings are held to allow agencies to discuss performance management issues/concerns. Citizen Summits allow the public to voice policy preferences.	Weidner consulting-strategic planning process. Hierarchy of city-wide strategic plan, agency strategic business plan, vision, strategic business goals, key results measures, output measures, demand measures, and efficiency measures	Developed in-house to measure agency performance. Measures expected to expand multi-year time frame. (until further strategic plan revision)
<b>Baltimore</b>	Bi-weekly meetings that review performance and human resources data and indicators.	CitiStat requires elected politicians to become more involved in the operations of city agencies.	Use of up-to-date performance information and bi-weekly meetings to review and evaluate performance. CitiStat webpage on the internet allows the public to keep track of the latest news regarding CitiStat and agency performance.	Up-to-date operational information through the use of maps with geocoded data and spreadsheets. Use of comparative statistics, graphs and charts.	Bi-weekly meetings judge, over time, how useful performance measures are.
<b>Charlotte</b>	City employees are awarded for achieving budget cost saving, which links performance compensation to the goals of the organization.	The City Manager's plan includes cultural changes to focus on strategic thinking and planning. A Corporate Strategy Award is given to a business unit that has demonstrated the most effective communication strategy.	The Corporate Performance Report, which is published quarterly, reports strategic results to the City Council, and in the process, communicates the City's strategies to citizens and employees.	Budget integration is part of the performance management system.	Performance measures are results-oriented or outcome-based, rather than activity measures, which do not tend to provide the full context as to what was accomplished or how money was spent.
<b>Portland</b>	Bureau Innovation Project (BIP) Goal # 16 is Managing for Results, which aims to update the City's mission and goal statements, while also ensuring that the goals and performance measures of each bureau are aligned with the City.	Bureau Innovation Project (BIP) Goal # 5 requires annual performance evaluations for all bureau directors, including measurements to meet City goals in the areas of Managing for Results.	Annual citizen survey used to gauge citizen views on the City's quality of life. Allows for important public information to be gathered, which affects City priorities. Provides guidance as to how to modify public services.	Annual audit not only verifies the adequacy of performance measures, but also the systems in place for reporting them.	Audit Office in charge of auditing the performance data collected and reported by each agency. Ensures agreement on measures used, and also on the right performance measures.

### 6.3 Agency Leadership Perceptions

Interviews with agency personnel, as well as personnel involved with performance management or the budget process, provided a range of perceptions on the performance-based management system. Senior level perceptions were varied, which suggests city-wide orientation problems with performance management requirements. The greatest disparities between agencies were observed within the accountability performance dimension. This suggests that performance accountability is not clear, not understood, or enforced differently among the agencies studied.

**Figure 1 – Performance Dimensions Expressed During Interviews**



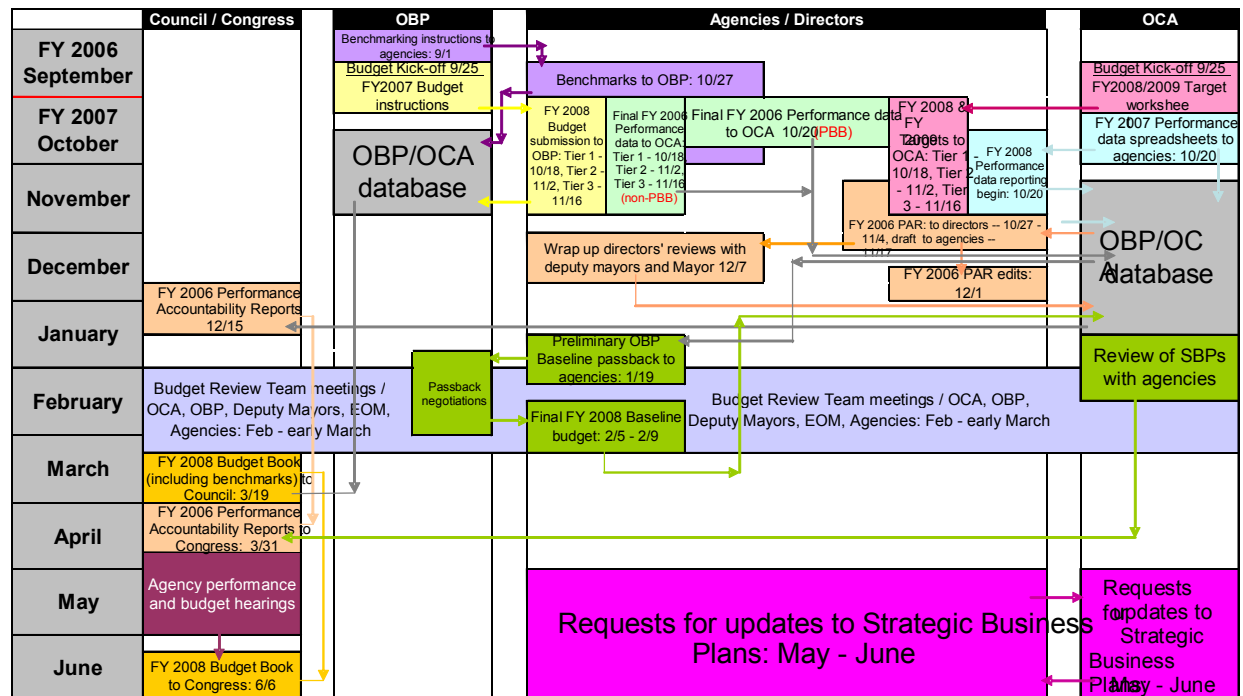
### 6.4 Disparate Systems

Figure 2 is a graphical representation of the current performance-based management system envisioned by the OCA. The graphic does not include all aspects of city-wide strategic management efforts, particularly the City-wide Strategic Plan and Strategic Neighborhood Action Plans (SNAPs).

Interviewees and survey respondents noted a frustration with the lack of centralized oversight and guidance. Almost all pertinent guidance exists in the form of memos or E-mails, which are difficult to track and reference. As a result, it appears that there is a lack

of general knowledge regarding the policy, processes, and practices of performance management throughout the District.

**Figure 2 – The Strategic Planning and Budgeting Process of the DC Government**



## 6.5 Executive Emphasis

Eight years ago, there was a lot of attention devoted to performance management, and this trickled down to the agencies. There were a substantial amount of resources and effort placed into developing initial Strategic Business Plans and KRMs, as well as transitioning all agencies to a minimum level of competence within the system. However, it appears that two years ago, the Mayor's office shifted focus from performance management to other priorities. Thereafter, agencies were not supported beyond initial implementation, and resources at the OCA and agencies shifted. Eventually, even the PMC stopped meeting as frequently.

#### 6.6 *Director Self-Evaluations and Performance Contract*

Director self-evaluations and performance contracts were referenced frequently among interviewees. These tools served to keep the agency director, and therefore agency staff, focused on implementing performance management. However, data integrity is compromised by any self-reporting mechanism. As noted by the Office of the Inspector General's report in August 2006, there is a lack of standard documentation required for KRM verification, thus, self-evaluations provide limited insight. In addition, the District has not used performance contracts for directors over the past two years.

#### 6.7 *Performance Accountability Report (PAR)*

The PAR is a compilation of monthly KRM reports and provides the opportunity for agencies to comment on their performance. Since KRMs are self-reported by agencies, the PAR is subject to problems with data integrity. Meaningful analysis of the data in the PAR is beyond the resource capacity of the OCA as currently staffed.

#### 6.8 *City-wide Strategic Plan (CWSP)*

The CWSP lacks visibility, which limits its effectiveness to communicate and align agency goals with that of the entire D.C. government. There were problems communicating the CWSP to the agencies. It has not been updated since 2003, and this lack of attention may suggest to agencies that the CWSP has little meaning.

#### 6.9 *Resources*

Currently at the OCA, there is only one interim full-time employee and two contractors devoted to performance management implementation and execution. Oversight is, for the most part, limited to ensuring that the monthly KRM reports are completed. There is no organizational structure in place that provides in-depth guidance for development of agency implementation efforts. Interviewees note that agencies lack the experience necessary to ensure that each KRM is meaningful and relevant. In addition, the OCA lacks the resources to consistently assist agencies with this process. This lack of resources prevents meaningful analysis of the performance measures, which also limits the utilization of performance data by decision-makers[DLB9]. [DDG10]

#### 6.10 *Strategic Neighborhood Action Plans (SNAPS)*

Interview data shows SNAPS has little to no impact upon agencies' performance management systems. Despite the attempt to include the public in the planning process, it is very seldom applied to day-to-day operations.

### *6.11 Citizen Summit*

Interview data indicate Citizen Summits rarely impact the strategic goals of the city or agencies.

### *6.12 Office of Budget and Planning (OBP)*

The Office of Budget and Planning's review of agencies' Strategic Business Plans are simply to ensure that program, activity, and service codes are in line for accounting purposes. While this is a first step, it is not the only step the OBP needs to take in order for true performance-based budgeting to occur.

### *6.13 Budget Review Team (BRT)*

The BRT process is one of the few opportunities for the strategic planning and budget processes to merge in a meaningful way. However, budget decisions are not currently based upon performance data.

## 7. Findings – Integration of the Performance Management System

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Web-based survey and interviews results were analyzed and aggregated in order to address research question two. Results are presented in a series of subsections, first addressing general integration findings, followed by specific findings for each performance dimension.

Caution should be used when generalizing the results of the agency interviews across all D.C. government agencies. First, due to time and resource constraints, interviews were limited to thirteen across the five agencies. The small sample size does pose a threat to the ability to generalize to other agencies. Secondly, several of the interviews were not conducted in a one on one situation, which may have affected respondents' answers. These concerns are mitigated by comparing the data from interviews to the web-based survey, which provided complete anonymity and freedom to express potentially unpopular viewpoints.

### 7.1 *All Performance Dimensions*

The survey data was analyzed for trends between responses and agency characteristics including: agency size, the phase in which performance management was implemented, the deputy mayor to which the agency reports, and whether an agency has an internal or external customer focus. The data suggest there is no relationship between the distinguishing characteristics of an agency and the answers provided on the survey by the respondents.

### 7.2 *Accountability*

There was a disparity between the data generated from the interviews and the survey regarding accountability. Three out of five aggregated agency interview scores demonstrate a slightly above average perception of how performance management is used to ensure accountability. However, the survey data indicate a lower perception of accountability within the context of performance management. For example, 39 percent of respondents said that performance data is not used in the process of hiring, firing, or granting bonuses.

### 7.3 *Awareness*

Of all performance dimensions, awareness varied the most between agencies, and within agencies. For example, when asked about the amount of performance management training conducted within their agency, 68 percent of respondents claim there is not enough training. By contrast, 56 percent state that performance management is discussed regularly by their supervisor. The varied responses suggest that the District's performance-based management system may depend on individuals at the agency, rather than dictated by the system itself.

#### 7.4 *Communication*

In general, there is agreement regarding the perception of the level and quality of communication between the agencies' performance management staff and senior level decision makers. For example, 32 percent of survey respondents strongly support the belief that communication channels are open between performance management staffs and key decision makers. However, communication between the OCA and agency staffs is cited as problematic, as 50 percent of respondents rate the OCA's information sharing regarding city-wide strategic goals, as below average. This finding is further corroborated by results of interviews. Interview responses consistently present a pattern of one way communication from the OCA to the agencies. Communication was consistently cited as focused on submitting reports on time rather than on content. However, other data sources demonstrate that the OCA performance management staff is available for guidance when requested.

#### 7.5. *Performance Management Systems*

The data suggest the perception is that the performance management system is functioning at a below average level. For example, 40 percent of respondents rate their impression of the performance-based management system as unfavorable. However, 24 percent of respondents cite their agency's performance management system is neither favorable nor unfavorable.

#### 7.6. *Performance Measurement Validity and Reliability*

Perceptions regarding performance measurement validity and reliability vary between agencies. Interview data indicate that while some agencies are able to obtain performance measures relatively easily because of the nature of their field, other agencies have more difficulty in developing meaningful performance measures because agency functions do not translate into easily quantifiable measures.



## 8. Conclusions

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- 8.1 The District's performance-based management system is a theoretically sound system with characteristics similar to other municipalities across the United States.
- 8.2 The lack of concise, consolidated documentation regarding the execution of the District's performance-based management creates system-wide problems. An in-depth knowledge of the system is limited to only a handful of people within the entire District. Additionally, the lack of guidance results in new personnel having to face an extremely steep learning curve. As a result, the execution of the performance management system relies heavily on the interpretation of individuals.
- 8.3 The performance-based management system has devolved to what amounts to a "check the box" type system. Perceived agency success with performance management appears to be a function of an agency's ability to quantify their measures, rather than the successful implementation of the performance management system and the use of performance information to make management decisions.
- 8.4 Accountability is limited to administrative aspects of performance management, such as reporting KRMs and updating Strategic Business Plans and documents for the budget book. However, these oversight activities fail to address accountability or consequences for content, quality, and use of performance measures to support agency and District strategic goals. The lack of resources dedicated to performance management directly contributes to this conclusion, which is also consistent with the OIG's report on the lack of quality control with respect to data integrity.
- 8.5 Overall interview and survey data indicate recognition of the potential value of the districts performance management system. There was a notable presence of general goodwill toward performance management. However, respondents repeatedly note a lack of guidance and support which subsequently frustrate implementation efforts.

## 9. Recommendations

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- 9.1 Provide concise, comprehensive performance management policy guidance in a standing, city-wide document(s).** The current Weidner document, while providing extensive structural guidance about how to build the performance-based management system, fails to provide policy guidance regarding timelines, documentation, responsibilities, etc. This recommendation would:
- Eliminate staff confusion regarding responsibilities.
  - Provide added transparency to the system.
  - Provide a single point of service for all things performance management.
- 9.2 Increase dedicated staffing at the OCA directly related to performance management oversight.** This recommendation would:
- Increase accountability by allowing the OCA to expand in depth oversight.
  - Diversify performance management expertise for continuity purposes so that any one member does not become indispensable.
- 9.3 Provide dedicated performance management staff to each agency.** This recommendation would:
- Diversify performance management expertise throughout the DC government.
  - Create an agency level advocate for use of performance management.
  - Create a more robust strategic business planning process and functional performance management process that add value for managers.
- 9.4 Use the Performance Management Council in an active, policy advisory role with respect to performance management.** This recommendation would:
- Harness remaining enthusiasm for performance management from front line agency staff.
  - Capitalize on the diverse knowledge base of District employees.
  - Facilitate valuable communication and feedback to augment the Strategic Management Cycle.
- 9.5 Consolidate disparate responsibility and reporting requirements, and ensure any new system (i.e. CAPSTAT) be complimentary rather than another parallel system.** Currently, SNAPs, CWSP, budget and the Strategic Business Plan processes all have a role in the overall strategic planning and performance management systems of the District. However, responsibility for these programs lies not only in the OCA, but in the OBP, the OCTO, and individual agencies. While it may be impractical to create one office with oversight of all of these programs, there should be an effort to streamline and clarify these organizational relationships. This recommendation would:
- Align city-wide efforts designed to achieve strategic goals.
  - Bring the budget and performance management systems closer in order to tie resources to results, thus, moving towards performance-based budgeting.

### Statement of Work

#### Background

The District is continuing its efforts with performance-based budgeting and performance-based management systems. Several years into the project, the success of the transition to an effective performance management system remains an area for further examination. The purpose of this research project is to conduct an implementation evaluation of the performance based management system as it currently stands within the DC government. The results of the research will be used to ‘ground truth’ the management paradigm in place, identify any obstacles inherent with the performance management system, as well as provide recommendations that may be implemented in conjunction with the change in administration.

#### Evaluation Questions

Researchers will assess the current performance measurement system which supports performance based budgeting in DC using the following evaluation questions:

1. *Orientation* – How has the performance management system been implemented at the agency level as designed by the Office of the City Administrator?

The focus of this question will be on the process, policy, and practice that exist at the citywide level and include strategy, structure, and resources. The scope of this examination will include the OCA, the agencies, as well as other citywide entities.

2. *Integration (macro-system wide)* - How have agencies implemented performance management activities in support of the District’s performance management system?

The focus of this question will be to delve more deeply into five agencies to examine the in-house process, policy and practice that dictate agency actions within the context of the performance management system.

These evaluation questions will assist current and future city administrations to evaluate the implementation of performance management at the District and Agency level.

#### Methodology

The following research methods will be employed in answering the evaluation questions:

Literature review – A literature review will be conducted by the research team in support of both evaluation questions. The review will serve to provide the research team with a baseline knowledge level regarding performance based management as envisioned in academic literature. Additionally, DC government document collection and review is included in this step. The purpose of this phase of the literature review is to establish the

“ideal performance management system” envisioned by the original implementation plan, as well as helping establish a reference point as to how performance based management is actually practiced within the DC government. Identifying jurisdictions with successful performance based management systems will also be part of the literature review. This may include local jurisdictions like Fairfax, Arlington, and Prince George’s County..

Comparative Analysis – Upon identification of jurisdictions with successful performance based management systems, researchers will conduct an analysis that will allow for comparison between the jurisdictions’ and the District’s performance based management system. This will assist in addressing question1.

Semi-structured interviews – Semi-structured interviews will be used to assist in answering both research questions. Interviews with performance management personnel and select agency heads will serve to measure the “where we currently are” reference point.

Expert panels – Expert panels will assist the research group in highlighting both areas of success and those needing attention. The research group may request a small sample of the District’s key players to attend such a panel focused on current and past issues to obtain multiple perspectives.

Site visits – Site visits will be conducted by the research team to the five agencies identified by OCA for study in support of the second evaluation question. These site visits will allow the researchers to conduct in depth study of four or five “key variables” (to be determined through the literature review) as they relate to the execution of performance based management. These key variables, being held constant across entities, will allow for generalization to other DC government agencies.

Additional site visits may be conducted at local jurisdictions if they are identified as having successful performance based management systems. These visits will support evaluation question one.

Survey – A survey may be developed for an anticipated target population consisting of the Performance Management Council. Survey results would be used to answer aspects of both research questions. Deployment method, whether internet based or paper survey, will be determined in conjunction with the client in order to maximize response rate and survey validity.

Logic Model – A logic model of the current performance based management system will be developed in support of the first evaluation question. The purpose of the model is to provide an easy to understand, graphical representation of the performance management system’s envisioned inputs, activities, outputs and outcomes, which will assist the researchers and client with validating the reference point of “where we are” and possibly provide insight into “where we need to go.”

In an effort to best meet the needs of the client, the research process and above methodologies will identify the establishment of a process “ideal,” a successful implementation of that ideal, and a comparison with the current state of D.C. efforts when appropriate.

### Tasks and Timeline

Researches will meet as needed with DC staff and will reserve standing time for Thurs AM meetings as needed. The researcher team and District representatives will complete a variety of tasks to accomplish the evaluation to include:

Task	Entity/POC	Notes
<b>Statement of work</b>		
<b>Project Design</b> Implement/Revise Complete		
<b>Establish Logistics</b> Assemble Finalize		
<b>Data Collection</b> Logic Model KRM System Implementation Agency/KRM Issues		
<b>Personnel Interviews</b> Agency PCM Reps OCA Data Specialists Other Personnel		
<b>Final Investigations</b> Data Collection Personnel Interviews Submit Working Outline		
<b>Instructor Briefing</b> Review Project		
<b>Data Analysis</b> Review Interviews Review Implementation data Review Performance Follow-Up Meetings		
<b>Written Report</b> Document Results Draft Report Final Report		
<b>Professorial Project Review</b>		
<b>Report Delivered to Professor</b>		
<b>Report &amp; Executive Briefing</b> <b>Presentation Delivered to OCA</b>		Date & location of presentation to be mutually agreed upon by researchers and client, with a target date of early December.

**Communication / Project Updates:** The research team will provide a weekly synopsis of the progress of the project via email. The synopsis will be delivered no later than 12:00pm on Thursday of every week, unless otherwise agreed upon. Information included will be: a summary of the work completed to date; anticipated work to be completed during the upcoming week; discussion of any anticipated delays or problems with the project; and a schedule of upcoming interviews/focus groups/expert panels with DC government officials being conducted by the research team. The preceding list is not intended to be all inclusive and may be adjusted at the request of the research team and/or the DC Director of Strategic Planning and Performance Management.

**Access:** The research team will be allowed unescorted access to interview subjects after initial introductions have been made, whether in person or via other electronic means. The research team will also be afforded desk space and computer access if necessary to facilitate completion of the project. To the furthest extent possible OCA will provide hard copies of DC government documents and where not possible allow printing of documents at provided workspaces.

**Deliverables:** The research team will provide the following deliverables to the Government of DC, and specifically to the Office of Strategic Planning and Performance Management.

1. Bound, hard copy report of research conducted, including program logic model, conclusions and recommendations. For data integrity purposes, the report will contain summaries of interviews, focus groups and survey data.
2. Electronic, PDF format, copy of the completed report, delivered either on CD or via email, dependant on desires of the client.
3. Bound, hard copy of presentation slides used by the research team.
4. Electronic PowerPoint file of presentation used by the research team, delivered either on CD or via email, dependant on desires of the client.

## Appendix B – Structured Interview Guide

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### Interview Instrument (Revision 8) November 1, 2006

#### Demographical Information:

Name:	Agency:
Agency size (apprx.# of FTE's):	Customer focus (circle): Internal External
Deputy Mayor:	

**\*provide explanation of project and assure them of anonymity. (refer to Rich's email to agency POC's and Doug's letter on survey)**

- (1) How did the OCA communicate the steps required for your agency to implement the current performance management system? Was it a large briefing? A series of meetings? A policy memo? [COM] Approximately when did the briefing take place?
- (2) Did the OCA specify how performance information was to be reported, or was that left to the agencies to figure out? To the program managers? Program analysts? [COM]
- (3) Did the OCA promote an exchange of ideas regarding the implementation of the performance management system, or was it a top-down approach? Were you or any other agency officials provided with an opportunity to comment and/or provide ideas? [COM]
- (4) Are there programmatic ramifications for compliance with performance management procedures? [AC]
- (5) Does your agency use performance data to make or significantly influence decisions which effect how the agency is being run? (including, but not limited to: i.e. decisions effecting budget, management, personnel, and/or employee rewards) [AC]
  - a. If so, to what extent? How?
- (6) Does your agency use performance data to advocate for or against programs by the responsible agency/program director? [AC]
  - a. If so, how?
- (7) What are your agency's procedures for communicating performance management measures and providing feedback agency-wide? [AW]
- (8) Does your agency's representative on the Performance Management Council (PMC) brief other key agency officials about discussions and decisions that take place during PMC meetings? If so, how is this information shared (meeting, memo, etc)? How much information is shared? [COM]
- (9) Do agency PMC members have responsibility for PBM issues in the agency or is someone else the lead person? If not, who does PBM related work in the agency? [SYS]

- (10) Does the agency have employees dedicated to the PBM system including SBP and KRMs? If so how many? [SYS]
- (11) How were your KRMs developed and implemented? Do they measure what they intend to measure? [PMVR]
- (12) Do the KRMs currently in place reflect the mission statement, goals, and objectives of your agency? [PMVR]
  - a. If yes:
    - i. How well?
  - b. If no:
    - i. Why are they still in place?
- (13) What is your understanding of your agency's most current performance within the performance management system? [AW]
- (14) Are performance data used by your agency to monitor how a program is being operated and used to modify operations? (I.e. is the data collected being used as opposed to just checking the box)? [AC]
- (15) How does your agency stress the importance of performance management to your agency employees? [AW]
- (16) Is performance management a part of the regular vocabulary of agency leaders? [AW]
- (17) Does awareness (among staff) of performance management need to be improved within your agency? [AW]



## Appendix C – Structured Interview Analysis Tool

Rating Guide for Characteristics of the Levels of <u>Accountability</u> For Participant Interviews	
Rating	Characteristics
High	Managers follow up with PMC members on performance data Results affect personnel decisions. Performance data transparent to internal/external customers. Managers/Supervisors below director are impacted by performance.
Moderate	PAR for director is only personnel impact, PMC members actively participate.
Low	KRMS are just ‘checking the box’. No follow up from management on goals, progress, etc. Performance data not made public (not on website). Performance data not distributed within agency.

Rating Guide for Characteristics of the Levels of <u>Awareness</u> For Participant Interviews	
Rating	Characteristics
High	Knows current goals, strategies. Indicates stressed to all employees. Knows jargon. Knows timeline. More than just PMC members participate. Know where current information is. Aware of SHORTFALLS in guidance. Newsletters, meetings, emails to staff to update. Posters.
Moderate	Senior managers & PMC members know most goals, strategies. Senior managers know jargon. May not know timelines, current guidance location. Only people with PM responsibilities even
Low	Only know PM from the once a year putting plan together. Only senior member even aware of the strategic planning process. Only person doing the actual forwarding of monthly KRM report sees it.

Rating Guide for Characteristics of the Levels of <u>Communications</u> For Participant Interviews	
Rating	Characteristics
High	<p>All members know what their responsibilities are</p> <p>Guidance available and referenceable.</p> <p>Managers disperse information regularly to subordinates</p> <p>Managers emphasize importance of PM regularly</p> <p>PMC and other members regularly contact OCA for guidance, information.</p> <p>PMC and other members look to other agencies for guidance, benchmarking.</p>
Moderate	<p>Good communications between PMC member (expert) and OCA, but others in agency may not be in the loop.</p> <p>PM known in some circles, but not outside of those really responsible for it.</p>
Low	<p>Rare instances of PM discussions outside senior most leadership.</p> <p>Monthly report only seen by reporter and OCA.</p>

Rating Guide for Characteristics of the Levels of <u>System (day to day)</u> For Participant Interviews	
Rating	Characteristics
High	<p>PM used to make changes to day to day operations.</p> <p>PM used to give feedback to all levels</p> <p>PM used to make budget decisions within agency.</p> <p>Part of the jargon.</p> <p>Dedicated PMC member, or expert up to date.</p>
Moderate	<p>PM used couple times a year to take a pulse.</p> <p>SBP revisited annually or close thereto.</p> <p>Measures referenced monthly by more than just the person doing the reporting to OCA.</p> <p>Goals have meaning to managers, but may not be up to speed on current performance.</p> <p>Employees below supervisor level may not be aware of PM concepts.</p>
Low	<p>SBP updated less than annually.</p> <p>Report is just checking the box.</p> <p>Few if any members including PMC members aware of the SBP or KRM or PM.</p>

Rating Guide for Characteristics of the Levels of <u>KRM Validity</u> For Participant Interviews	
Rating	Characteristics
High	<p>KRMs updated by current leadership.</p> <p>KRMs meaningful to all levels.</p> <p>KRMs developed in house.</p> <p>KRMs just some of the measures kept by agency.</p> <p>KRMs used by leadership and front line managers.</p> <p>Director level checks on KRMs regularly.</p>
Moderate	<p>Some KRMs not useful.</p> <p>KRMs are only measures kept.</p> <p>KRMs monthly report reviewed by PMC member or expert.</p> <p>Some dissatisfaction with KRMs, but supportive in general of doing/using them.</p>
Low	<p>KRMs not developed in house.</p> <p>Just a checking the box measure.</p> <p>Use other measures instead of KRMs to do the job.</p> <p>No one sees KRMs except the people forwarding report to OCA.</p>

Rating Guide for Characteristics of the Levels of <u>Observation by Research Team Members</u>	
	<p>It may be valuable to capture the observations of the research team members as a separate line item in the matrix. Observations can be based on more than just the interviews. Things such as web research, budget book review, etc may be considered.</p> <p>It also may be valuable to look at things such as who was made available for interview, how much time they allocated, were they enthusiastic.</p> <p>It may not be possible to do this for agencies the researcher did not interview themselves.</p>
High	<p>Enthusiastic</p> <p>Director or similar high level participation.</p> <p>SBP, measures, budget book all aligned</p> <p>Interview of over 45 minutes.</p> <p>Talkative</p> <p>Generally supportive</p> <p>Office spaces decorated with PM information</p>
Moderate	<p>No director or high level interview</p> <p>Good answers, but no extra stories or talk.</p> <p>45 minutes or less interview</p> <p>SPB, budget book, measures have not all aligned but, some are up to date</p>
Low	<p>Not enthusiastic</p> <p>Not knowledgeable</p> <p>Short interviews,</p> <p>Less than all three interviews</p>

Master Matrix for Interview Characteristics					
Interview*	Accountability+ H, M or L	Awareness+	Communication+	System (day to day Use)+	KRM validity+
SEO 1					
SEO 2					
SEO 3					
SEO Observe #					
DPW 1					
DPW 2					
DPW 3					
DPW Observe #					
DDOT 1					
DDOT 2					
DDOT 3					
DDOT Observe #					
DCRA 1					
DCRA 2					
DCRA 3					
DCRA Observe #					
MPD 1					
MPD 2					
MPD Observe #					

\* If interview number is not inherently obvious, i.e. director = 1, PMC/Expert = 2, User =3, then write in interviewee initials.  
+ After evaluating interview write up using characteristic guides, transfer **high**, **moderate** or **low** rating to these columns.  
# See Observation guide

Team Member Initials (PRINT CLEARLY) \_\_\_\_\_

## Using the Rating Guides and Master Matrix

Team members should print out copies of the guides and master matrix to begin the evaluation process.

Review the write ups for the five key dimensions (characteristics) to refresh them in your minds.

Each team member shall evaluate every interview as written up, which hopefully captures the spirit of the interview.

The included guides are just that, GUIDES. The language is meant to help you qualify your reading of the interview and your observations at the interview into consistent ratings. In order to score HIGH, not every single bullet point has to be met, but the bullets are representative of the type of characteristics for a high rating. This is the same for each of the other ratings. Each interview may have low, moderate and high indicators for a characteristic, but overall there can only be one rating for each.

Using the individual guides to evaluate each interview and each characteristic, team members should record their score of H, M, or L in the master matrix. All the master matrixes will be combined for analysis

The researcher observation guide may or may not be a valid technique, but has been included in case you feel that pertinent and valuable observations outside the individual interviews need to be captured.

## Appendix D – Internet Survey Tool

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Performance Management Council Members,

As you may be aware, a team of George Washington University graduate students, working with the Office of the City Administrator, are conducting a study of the performance management system in place throughout the DC government.

The GWU Capstone Project is a semester long effort which is the culmination of the course of study for Master of Public Policy and Public Administration students. It is designed to allow students to apply the theory and academics of the classroom to real world projects. We hope to provide a valuable product to you as the client that provides insight into performance management in the District.

This survey is a crucial part of our study as we explore the performance management implementation experiences within agencies throughout the government. As such, you have been selected to participate in this survey because you have been identified as having a role in your agency's performance management system. Completion of the survey should take less than 15 minutes of your valuable time.

Our questions delve into the aspects of awareness, communications, KRMs, integration of performance management into day to day operations and accountability. These broad concepts are applied to the performance management system, not to the performance of any individual. Nor are we evaluating the performance of the agency in relation to their performance management goals, we ARE looking at how, why and to what extent performance management has been a successful tool for those involved with it. In this way we may provide valuable feedback.

The raw information we develop will only be seen by the research team who would then use it to craft a final report for the OCA staff, in which specifics would not be attributable to any one person. Survey responses are considered confidential and will not be provided to OCA or anyone in the D.C. government. Survey responses will remain the property of the study team. Presentation and analysis of results will not contain any individual identifiable information or any indication of specific agencies. The survey does not ask the respondent to identify him- or herself, but does ask you to identify your agency, as results will be aggregated according to agency characteristics specified at the end of the survey. Please be sure to complete this section.

In order to complete our study in a timely manner, it is requested that you complete this survey by Friday, 10 November. Again, it should only take about 15 minutes to complete.

If you have any questions or concerns regarding this survey, please do not hesitate to contact Doug Goodwin (research team ([goodwind@gwu.edu](mailto:goodwind@gwu.edu))), Nancy Augustine (GWU Capstone Professor ([nya@gwu.edu](mailto:nya@gwu.edu))) or Bill Zybach (OCA, [bill.zybach@dc.gov](mailto:bill.zybach@dc.gov))).

Regards,

Dana Breil  
Joanna Choi  
Doug Goodwin  
Nick Sterganos  
Rich Timme

Please answer the following questions based on your beliefs of the performance management system as practiced in your specific agency.

1. To what extent do you believe that...

Not at All (1)	(2)	Somewhat (3)	(4)	Very Strongly (5)	N/A or Don't Know
-------------------	-----	-----------------	-----	----------------------	----------------------

- Key Results Measures (KRM)s address the agency's mission statement? (PMVR)
- KRM)s support the agency's mission? (PMVR)
- KRM)s address your agency's published strategic goals? (PMVR)
- Agency personnel are aware of monthly performance measure reporting requirements? (AW)
- Agency personnel are aware of some or all of the specific KRM)s in place? (AW)
- Communication channels are open and clear between performance management staffs and key agency decision makers? (AW, COM, AC)

Please answer the following questions based on your beliefs of the performance management system as practiced in your specific agency.

2. To what extent do you believe that...

Not at All (1)	(2)	Somewhat (3)	(4)	Very Strongly (5)	N/A or Don't Know
-------------------	-----	-----------------	-----	----------------------	----------------------

- Agency managers use performance data to make or significantly influence budget decisions? (AC)
- Agency managers use performance data to make or significantly influence programmatic management decisions such as expansion, reduction or cancellation of a program? (AC)
- Agency managers use performance data in the process of hiring, firing or granting of bonuses? (AC)
- Agency managers use public feedback regarding performance data to influence budget decisions? (AC)
- Agency managers use public feedback regarding perceived program performance to influence management decisions such as expansion, reduction or cancellation of a program? (AC)



Please answer the following questions based on your beliefs of the performance management system as practiced in your specific agency.

3. To what extent do you believe that...

Not at All (1)	(2)	Somewhat (3)	(4)	Very Strongly (5)	N/A or Don't Know
-------------------	-----	-----------------	-----	----------------------	----------------------

- Performance based management helps me do my job? (SYS)
- Performance management makes your job easier? (SYS)
- Performance management allows you to do a better job? (SYS)

Please answer the following questions based on your beliefs of the performance management system as practiced in your specific agency.

4. On average, how often is/are...

Not Enough (1)	(2)	Enough (3)	(4)	Too Much (5)	N/A or Don't Know
-------------------	-----	---------------	-----	-----------------	----------------------

- Performance management listed as a specific topic during staff meetings? (AW, COM)
- Performance management mentioned in normal daily conversations? (AW, COM)
- Performance management training conducted for all employees? (AW)
- Performance management training conducted for performance management staffs? (AW)
- Performance management discussed by your supervisor when communicating to you and/or others in your agency? (AW, AC, COM)
- KRMs changed? (PMVR)

Please answer the following questions based on your beliefs of the performance management system as practiced in your specific agency.

5. How would you rate...

Low (1)	(2)	Average (3)	(4)	High (5)	N/A or Don't Know
------------	-----	----------------	-----	-------------	----------------------

- The ease by which KRMs are calculated? (SYS, PMVR)
- KRMs as a tool to measure performance? (SYS, PMVR)
- The clarity of communication regarding the purpose of the performance management system as a whole? (ALL)
- The accuracy of my agency's mission statement in describing the purpose of the agency? (PMVR, SYS, COM)
- The accuracy of my agency's performance reports in relation to actual performance? (PMVR, AC, SYS, COM)
- OCA's information sharing with agencies regarding city-wide strategic goals? (COM)

6. What is your general impression about the performance based management system currently in place at your agency? (SYS, ALL)

Extremely Unfavorable (1)	(2)	No opinion either way (3)	(4)	Highly Favorable (5)	N/A or Don't Know
------------------------------	-----	------------------------------	-----	-------------------------	-------------------

What is your general impression about the performance based management system in place throughout the city government? (SYS, ALL)

Extremely Unfavorable (1)	(2)	No opinion either way (3)	(4)	Highly Favorable (5)	N/A or Don't Know
------------------------------	-----	------------------------------	-----	-------------------------	-------------------

7. Please use this space to provide any additional comments relevant to performance based management that you would like to convey to the study team. (ALL)

8. What deputy mayor does you agency report to?

Deputy Mayor for Operations

Deputy Mayor for Public Safety and Justice

Deputy Mayor for Planning and Economic Development

Deputy Mayor for Children, Youth, Families and Elders

Other, please specify

9. What is the approximate size of your agency, measured in FTEs?

Less than 100

101-250

251-500

501-1000

1000+

10. What is the customer focus of your agency (internal or external)?

11. How large is the performance management staff at your agency?

12. If you know, in what phase did your agency begin performance based management?

Phase I

Phase II

Phase III

Phase IV

Don't Know

13. What is your agency (note-this question is being used by the research team strictly to track survey response rate and will NOT be linked to your answers in any way)?

## Appendix E – Descriptive Statistics of All Internet Survey Answers

### Zoomerang Survey Results

Performance management in the DC Government

Response Status: Completes and Partial

Filter: No filter applied

Nov 24, 2006 06:41 AM PST

Note: Open ended responses are not displayed in Excel exports.

Please answer the following questions based on your beliefs of the performance management system as practiced in your specific agency.

#### 1. To what extent do you believe that

Top number is the count of respondents selecting the option. Bottom % is percent of total respondents selecting the option.

	1	2	3	4	5	N/A
	Not at All		Somewhat		Very Strongly	
Key Results Measures (KRM) address the agency's mission statement?	1 3%	2 5%	11 29%	11 29%	13 34%	0 0%
KRM support the agency's mission?	1 3%	2 5%	10 26%	12 32%	12 32%	1 3%
KRM address your agency's published strategic goals?	1 3%	5 13%	6 16%	13 34%	13 34%	0 0%
Agency personnel are aware of monthly performance measure reporting requirements?	2 5%	14 37%	6 16%	8 21%	6 16%	2 5%
Agency personnel are aware of some or all of the specific KRM in place?	1 3%	11 29%	9 24%	5 13%	12 32%	0 0%
Communication channels are open and clear between performance management staffs and key agency decision makers?	4 11%	3 8%	11 30%	7 19%	12 32%	0 0%

<b>2. To what extent do you believe thatâ€¦</b>						
Top number is the count of respondents selecting the option. Bottom % is percent of total respondents selecting the option.	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>N/A</b>
	<b>Not at All</b>		<b>Somewhat</b>		<b>Very Strongly</b>	
Agency managers use performance data to make or significantly influence budget decisions?	11 29%	8 21%	10 26%	4 11%	5 13%	0 0%
Agency managers use performance data to make or significantly influence programmatic management decisions such as expansion, reduction or cancellation of a program?	8 21%	7 18%	6 16%	12 32%	3 8%	2 5%
Agency managers use performance data in the process of hiring, firing or granting of bonuses?	15 39%	4 11%	8 21%	5 13%	3 8%	3 8%
Agency managers use public feedback regarding performance data to influence budget decisions?	13 34%	3 8%	10 26%	4 11%	1 3%	7 18%
Agency managers use public feedback regarding perceived program performance to influence management decisions such as expansion, reduction or cancellation of a program?	9 24%	6 16%	10 27%	5 14%	2 5%	5 14%

<b>3. To what extent do you believe thatâ€¦</b>						
Top number is the count of respondents selecting the option. Bottom % is percent of total respondents selecting the option.	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>N/A</b>
	<b>Not at All</b>		<b>Somewhat</b>		<b>Very Strongly</b>	
Performance based management helps me do my job?	4 11%	4 11%	10 26%	7 18%	8 21%	5 13%
Performance management makes your job easier?	5 13%	5 13%	9 24%	6 16%	8 21%	5 13%
Performance management allows you to do a better job?	4 11%	6 16%	10 26%	5 13%	8 21%	5 13%

**Please answer the following questions based on your beliefs of the performance management system as practiced in your specific agency.**

<b>4. On average, how often is/areâ€¦</b>						
---	--	--	--	--	--	--

Top number is the count of respondents selecting the option. Bottom % is percent of total respondents selecting the option.	1	2	3	4	5	N/A
	Not Enough		Enough		Too Much	
Performance management listed as a specific topic during staff meetings?	4 11%	15 39%	13 34%	4 11%	1 3%	1 3%
Performance management mentioned in normal daily conversations?	8 21%	16 42%	12 32%	2 5%	0 0%	0 0%
Performance management training conducted for all employees?	18 47%	8 21%	6 16%	2 5%	1 3%	3 8%
Performance management training conducted for performance management staffs?	10 26%	13 34%	7 18%	4 11%	0 0%	4 11%
Performance management discussed by your supervisor when communicating to you and/or others in your agency?	6 16%	9 24%	12 32%	9 24%	1 3%	1 3%
KRMs changed?	11 29%	6 16%	14 37%	4 11%	1 3%	2 5%

5. How would you rate?	1	2	3	4	5	N/A
Top number is the count of respondents selecting the option. Bottom % is percent of total respondents selecting the option.	Low		Average		High	
The ease by which KRMs are calculated?	4 11%	9 24%	13 35%	8 22%	3 8%	0 0%
KRMs as a tool to measure performance?	6 16%	6 16%	15 39%	5 13%	6 16%	0 0%
The clarity of communication regarding the purpose of the performance management system as a whole?	5 14%	12 32%	14 38%	4 11%	2 5%	0 0%
The accuracy of my agency's mission statement in describing the purpose of the agency?	2 5%	1 3%	9 24%	6 16%	20 53%	0 0%
The accuracy of my agency's performance reports in relation to actual performance?	1 3%	6 16%	13 34%	8 21%	10 26%	0 0%
OCA's information sharing with agencies regarding city-wide strategic goals?	7 18%	12 32%	9 24%	6 16%	4 11%	0 0%

6. What is your general impression about...	1	2	3	4	5	N/A
Top number is the count of respondents selecting the option. Bottom % is percent of total respondents selecting the option.	Extremely Unfavorable		No opinion either way		Extremely Favorable	
The performance based management system currently in place at your agency?	2 5%	13 35%	9 24%	11 30%	2 5%	0 0%

The performance based management system currently in place throughout the city government?	3	12	16	6	1	0
	8%	32%	42%	16%	3%	0%

**7. Please use this space to provide any additional comments relevant to performance based management that you would like to convey to the study team**

15 Responses

#### 8. To whom does your agency report?

Deputy Mayor for Operations	8	21%
Deputy Mayor for Public Safety and Justice	8	21%
Deputy Mayor for Planning and Economic Development	5	13%
Deputy Mayor for Children, Youth, Families and Elders	7	18%
Other, please specify	10	26%
<b>Total</b>	38	100%

#### 9. What is the approximate size of your agency, measured in FTEs?

Less than 100	14	37%
101-250	4	11%
251-500	6	16%
501-1000	8	21%
1000+	6	16%
<b>Total</b>	38	100%

#### 10. What is the primary customer focus of your agency?

Internally focused (serves other city agencies)	6	17%
Externally focused (serves the general public directly)	30	83%
<b>Total</b>	36	100%

**11. How large is the performance management staff at your agency?**

34 Responses

**12. If you know, in what phase did your agency begin performance based management?**

Phase I	4	11%
Phase II	5	14%
Phase III	9	25%
Phase IV	0	0%
Don't Know	18	50%
<b>Total</b>	<b>36</b>	<b>100%</b>

**13. What is your agency? (note-this question is being used by the research team strickly to track survey response rate and will NOT be linked to your answers in any way)**

33 Responses

## Appendix F – Literature Review

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## Appendix G – Key Performance Dimensions Defined

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Five key dimensions in performance management have been identified and will be used to compare across the five agencies, as well as the three cities addressed above. Three dimensions can be attributed to Joseph S. Wholey from his article “Performance-Based Management: Responding to the Challenges,” and these are Performance Measurement Validity and Reliability, Performance Based Management Systems and Accountability. Communication and Awareness are two additional dimensions that are important for successful performance management, but are not necessarily specified by the literature.

*Performance Measurement Validity and Reliability* – This is a variation of Wholey’s criterion 2, “Performance measurement systems of sufficient quality.” Performance measurement validity refers to the degree to which the system actually measures what it claims to measure. This also includes the extent to which inferences, conclusions, and decisions made on the basis of measures are germane. Performance measurement reliability refers to the degree to which a system consistently measures what it is intended to measure. Most simply put, a system will yield reliable performance measures if it is consistent within itself and across time.



*Performance-Based Management Systems* – This concept is a variation of Wholey’s criterion 3 and refers to, “using performance information in managing agencies to achieve effective performance.” In other words the agency uses performance information to make decisions.

*Accountability* - This concept is a variation of Wholey’s criterion 4 and refers to communicating the value of agency or program activities to key stakeholders to ensure a level of consistent conduct and responsibility for the actions of a program and/or its personnel.

*Communication* – The means by which performance information is conveyed to individuals in the agency. Its influence is largely dependent upon information sharing, which also makes it significant across other performance dimensions.

*Awareness* – The extent to which individuals are aware and possess the knowledge of, and the extent to which the intended function, implementation procedures, and language of performance management have been integrated into the day-to-day operations of the agency.

## Appendix H – Presentation Slides





### The George Washington University

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MPA/MPP Capstone  
Applied Research Project

1





### GWU DC Capstone Group

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- Dana Breil
- Joanna Choi
- Douglas Goodwin
- Nicholas Sterganos
- Richard Timme

2





### DC Performance Management System Evaluation

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- Introduction
  - GWU Capstone
  - Office of the City Administrator
- Scope of Work
  - Performance Management Evaluation
  - Implementation, NOT Performance

3





### DC Performance Management System Defined

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- "Strategic Resource Planning Guide"
- Citywide Strategic Plan
- Strategic Neighborhood Action Plan
- Agency SBP
  - Mission
  - Vision
  - Strategic Business Goals
  - Measures-KRM, Output, Demand, Efficiency

4





### Research Question One

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- Performance Management System Orientation
  - "Big Picture", City-wide
  - Process, Policy, Structure and Resources

5





### Research Question Two

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- Performance Management System Integration
  - Agency-level
  - In-house policy, process, structure and resources
  - Five agencies selected
  - Five performance dimensions



6

## Project Design

- Literature Review
- Comparative Analysis
- Interviews
  - Executive level personnel
  - Performance management level
  - Data capture / usage level
- Survey



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## Findings – Orientation of the Performance Management System

- Municipality Comparison
  - Charlotte, Baltimore, Portland
- Leadership Perceptions
  - Wide variation in responses
- Executive Emphasis
  - 8 years ago
  - 2 years ago



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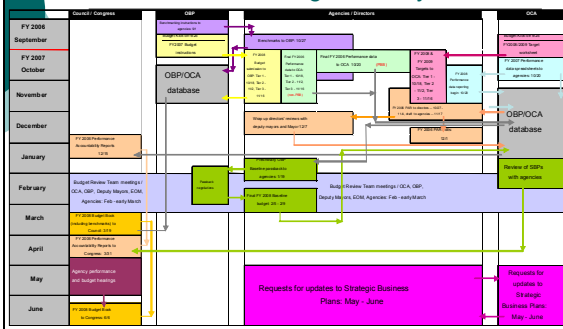
## Findings – Orientation of the Performance Management System

- Resources
  - Administrative oversight only
  - Not enough for analysis
- Disparate Systems
  - CWSP, SNAPS, DCSTAT, SBP, Budget
  - OCA, OBP, OCTO, EOM, etc



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## Findings – Orientation of the Performance Management System





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



## Findings – Orientation of the Performance Management System

- Citywide Strategic Plan
- Citizen Summit
- SNAPS
- Office of Budget and Planning
- Budget Review Team
- Director Self-Evaluation
- Performance Accountability Report

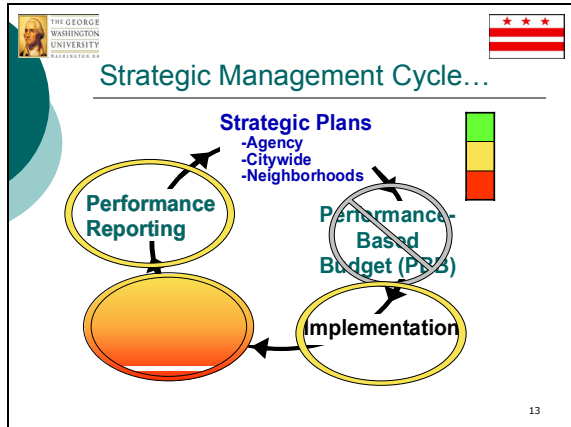
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## Findings - Integration of the Performance Management System

- Survey and Interview Results
  - Accountability - 
  - Awareness - 
  - PBM System - 
  - Measures Validity & Reliability -  
  - Communication - 

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**Conclusions**

- PM Concepts Are Valued
  - Agencies & individuals are willing
- DC's "Strategic Resource Planning Guide"
  - The design is right
  - Degraded by implementation issues

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**Conclusions**

- Lack of comprehensive policy guidance
  - Creates frustration, confusion
  - Subject to individual interpretation
- KRMs skew performance perceptions
  - Easy to calculate get high visibility, regardless of quality/value
- Accountability
  - Administrative in nature only
  - Limited / no quality control & oversight

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**Recommendations**

1. Promulgate Concise Comprehensive Policy Document
2. Increase OCA PM Staff
3. Provide Dedicated PM Agency Staff
4. Use PMC in Policy Advisory Role
5. Consolidate Systems
  - Systems should be integrated

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**Thank You!**

Questions?

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